

REQUEST FOR FILING
(RULE 53(b)(1))



00909

☒ Divisional) application under 37 CFR 1.53(b)(1)

☒ Divisional)
of pending prior application of)

Group Art Unit: 2823

Inventor(s): SHIBATA et al.

Examiner: L. Pham

Parent Appln. No.:	09	522,833
	Series Code ↑	Serial No. ↑

Atty. Dkt.	P 280416	T36-140921M/KOH
	<u>New M#</u>	Client Ref

Parent Filed: March 10, 2000

This Appln. Filed: November 6, 2001

Title: GROUP III NITRIDE COMPOUND SEMICONDUCTOR DEVICE AND METHOD FOR PRODUCING THE SAME

Hon. Commissioner of Patents
Washington, DC 20231

Date: November 6, 2001

(Parent Matter No. 257752)

To effect the above-requested filing today:

Attached is a copy (**which must be filed**) of the prior application, including:

- ☒ Abstract
☒ Specification and claims (32 pages) (**must be attached**)
☒ Drawings (**must be attached if originally filed**): 10 sheet(s)/set: ☐ 1 set informal;
 Always X one box only: ☒ Formal of size ☒ A4 ☐ 11"

Always X one box, only:

- (1) ☒ Copy of Signed declaration or oath as originally filed in prior application attached
- (2) ☐ NO declaration or fee is enclosed; therefore, this is a filing under Rule 53(f).

2. ☐ This application is hereby filed by less than all of the inventors named in the prior application. Petition is hereby made requesting deletion as inventor(s) of the following who is/are **not** inventor(s) of the invention being claimed in this application (DELETE THE FOLLOWING INVENTOR(S)):

1. _____
 3. _____
 5. _____
 7. _____
 2. _____
 4. _____
 6. _____
 8. _____

2.5 THE INVENTOR(S) FOR THIS NEW APPLICATION IS(ARE):

1. _____
3. _____
5. _____
7. _____
2. _____
4. _____
6. _____
8. _____

3. The entire disclosure of the prior application is considered as being part of the disclosure of the accompanying application and is hereby incorporated therein by reference thereto.

4. ☒ Priority is claimed under 35 U.S.C. 119/365 based on filing in JAPAN of _____ (country)
- | | Application No. | Filing Date | Application No. | Filing Date |
|-----|------------------|-----------------------|-----------------|-------------|
| (1) | <u>11-092948</u> | <u>March 31, 1999</u> | (2) | _____ |
| (3) | _____ | _____ | (4) | _____ |
| (5) | _____ | _____ | (6) | _____ |

- a. ☐ _____ (No.) Certified copy/copies attached.
b. ☒ Certified copy/copies previously filed on April 7, 2000 in _____
U.S. Application No. 09/552,833, filed on March 10, 2000.
series code ↑ serial no. ↑

- 4(a). (a) ☐ Domestic priority is claimed from PCT/ _____ / _____ filed _____
(b) ☐ Benefit is claimed of Provisional Application No. 60/____, filed _____.

5. ☐ Assignee (optional) _____

6. ☒ Attached is the following number of Assignments (including original and all later successive ones by different assignors): 1 and respective **new** Cover Sheets. (Do **NOT** file old cover sheets.)

(Assignments in parent **must be refiled** with new Cover Sheets in this continuing application if you want it/them recorded against the continuing application.)

Please return the recorded Assignment to the undersigned.

7. ☒ The power of attorney in the prior application is to Dale S. Lazar, Reg. No.: 28872

(Name and Reg. No.)
whose current address is as in item 8 below.

- a. ☒ Recognize as associate attorney John P. Darling, Reg. No. 44482, same as #8.

(Name, Reg. No. and Address)

8. **Address all future communications to Intellectual Property Group of Pillsbury Winthrop LLP, 1600 Tysons Boulevard, McLean, VA 22102**

9. This application claims benefit of the following prior US application(s), the contents of which are incorporated into this application by this reference:

No. 09/ 522,833 filed March 10, 2000

No. / filed _____

No. / filed _____

No. PCT/ / filed _____, which

designated the U.S. and that International Application ☐ was ☐ was not published under PCT Article 21(2) in English

- 9(a). ☒ See the attached Preliminary Amendment, which amends the first page of the specification to claim benefit of the above listed US application(s)

10. **Small Entity Status →** ☒ is **Not** claimed ☐ is claimed (**pre-filing confirmation required**)

(No.) Small Entity Statement(s) (**not** essential since 9/8/00) were/are:

- ☐ filed in above prior application
☐ attached.

11. Petition to extend the life of the above prior application **to at least the date hereof**
(one box) ☐ is being concurrently filed in that prior application (Use Form PAT-111).
(must be) ☐ was previously filed in that prior application (Check length of prior extension).
(X'd) ☒ is not necessary **for copendency (Double check before X'ing this box).**

12. ☒ **INFORMATION DISCLOSURE STATEMENT:** Attached is Form PTO-1449 listing all of the documents cited by Applicant and the PTO in the parent application(s) relied upon under 35 USC 120 and referenced in item 9 above. Per Rule 98(d) copies of those documents are not required now. Please consider those documents and advise that they have been considered in this new application as by returning a copy of the enclosed Form PTO-1449 with the Examiner's initials in the left column per MPEP 609. .
13. ☐ Attached is a Rule 103(a) Petition to Suspend Action.
14. ☐ **Please see** the attached Preliminary Amendment which reduces the number of claims for purposes of reducing the initial filing fee.

FILING FEE

THE FOLLOWING FILING FEE IS BASED ON

-->-->-->CLAIMS AS FILED AND CHANGED BY PRELIMINARY AMENDMENT IN ITEM 14<--<--<--

NOTE: If box 1A2 is X'd, do not pay fees,
but leave lines 15-22 and 27-32 blank.

				Large/Small Entity		Fee Code
15	Basic Filing Fee Design Application			\$330/\$165		106/26
16	Basic Filing Fee Utility Application			\$740/\$370	+740	101/201
17	Total Effective Claims	4	minus 20 = 0	x \$18/\$9	+0	103/203
18	Independent Claims	1	minus 3 = 0	x \$84/\$42	+0	102/202
19	If any proper multiple dependent claim (ignore improper) is present,			\$280/\$140	+0	104/204
20				Subtotal =	\$740	
21	If "petition" box 13 above is X'd, add petition fee. \$130				+0	122
21A	If box 6 above is X'd, add Assignment recording fee \$ 40				+40	581
22				TOTAL FILING FEE ATTACHED =	\$780	

(carry forward to Item 31)

23. ☐ ATTACHED:
24. ☐ See the attached Preliminary Amendment
25. ☐ See NONPUBLICATION REQUEST under Rule 213(a) attached (Pat-258)

26.

**ADDITIONAL FEE CALCULATION FOR
PRELIMINARY AMENDMENT
PER BOXES 24/25**

	Claims remaining after amendment	Highest number previously paid for	Present Extra	Large/Small Entity	Additional Fee	File Code
27.	Total Effective Claims	*4	minus ** 20	= 0 x \$18/\$9 =	\$ 0	(103/203)
28.	Independent Claims	*1	minus *** 3	= 0 x \$84/\$42 =	+ 0	(102/202)
29.	If amendment enters proper multiple dependent claim(s) into this application for the first time, add (per application) \$280/\$140				+ 0	(104/204)
30.	ADDITIONAL FEE				\$ 0	
31.	plus FEE from item 22 on page 3				+ 780	
32.	TOTAL FEE ATTACHED				\$ 780	

*If the entry in this space is less than a entry in the next space, the "Present Extra" result is "0"

**If the "Highest number previously paid for" (see item 17 above) is less than 20, write "20" in this space

***If the "Highest number previously paid for" (see item 18 above) is less than 3, write "3" in this space



00909

Our Deposit Account No. 03-3975

Our Order No.	51273	280416
	C#	M#

CHARGE STATEMENT: Upon the filing of a Declaration pursuant to Rule 60(b) or 60(d), the Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP
Intellectual Property Group**

By Atty: John P. Darling

Reg. No. 44,482

Sig: *John P. Darling*

Fax: (703) 905-2500

Tel: (703) 905-2045

Atty./Sec JPD/JRH

NOTE No. 1: File this Request in duplicate with 2 postcard receipts (PAT-103) & attachments

NOTE No. 2: Is extension in parent necessary for copendency? **DOUBLE CHECK** Item 11 above.

If yes, printout Pat-111 and head it in parent.